

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Paul A. Spence et al.
Serial No.: Unknown (Divisional of Serial No. 10/268,028)
Filed: October 28, 2003
Art Unit: Unknown
Examiner: Unknown
Title: HEART VALVE REPAIR APPARATUS AND METHODS
Atty Docket No.: SPEN-03C

Cincinnati, Ohio 45202

October 28, 2003

Mail Stop Patent Application
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

INFORMATION DISCLOSURE STATEMENT

In accordance with the duty of candor and good faith imposed by 37 C.F.R. §1.56 and means of complying therewith according to 37 C.F.R. §§1.97 and 1.98, the references listed on the attached Form PTO-1449 are called to the attention of the Examiner in connection with the above-identified patent application. Copies of the cited references have already been supplied in connection with U.S. Patent Application Ser. Nos. 10/268,028 (pending) and 09/496,450 (abandoned). The present application is a divisional application of 10/268,028 and claims the benefit thereof under 35 U.S.C. § 120. Therefore, under 37 C.F.R. § 1.98(d) copies of the cited references need not be provided herewith. If additional copies of these

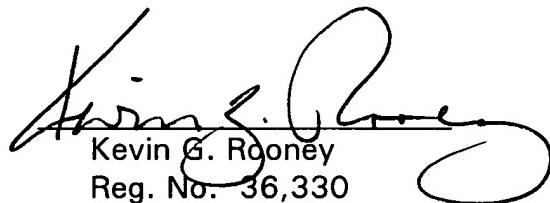
references are desired, please contact the undersigned and they will be forwarded immediately.

The Examiner is urged to consider all of the cited documents and to make an independent evaluation of the teachings and materiality of each.

Applicants do not believe that any fees are due in connection with this submission. However, if such petition is due or any fees are necessary, the Commissioner may consider this to be a request for such and charge any necessary fees to deposit account 23-3000.

Respectfully submitted,

WOOD, HERRON & EVANS, L.L.P.



Kevin G. Rooney
Reg. No. 36,330

2700 Carew Tower
441 Vine Street
Cincinnati, OH 45202
(513) 241-2324

K:\SPEN\03C\ids.wpd

SUBSTITUTE FORM PTO-1449 (MODIFIED)		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE							ATTY. DOCKET NO. SPEN-03C		SERIAL NO. Express Mail No. EV355034347US	
									APPLICANT Paul A. Spence et al.			
		(Use several sheets if necessary) (37 CFR 1.98(b))							FILING DATE October 28, 2003		GROUP Unknown	

U.S. PATENT DOCUMENTS

EXAMINER INITIAL		PATENT NUMBER							ISSUE DATE	PATENTEE		CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	A.A	3	1	3	0	4	1	8	4/1964	Head et al.		3	1	
	A.B	4	0	2	1	8	6	3	5/1977	Woien		3	1.5	
	A.C	4	1	0	6	1	2	9	8/1978	Carentier et al.		3	1.5	
	A.D	4	1	6	4	0	4	6	8/1979	Cooley		3	1.5	
	A.E	4	2	6	1	3	4	2	4/1981	Aranguren Duo		128	1R	
	A.F	4	2	7	5	4	6	9	6/1981	Gabbay		3	1.5	
	A.G	4	3	3	9	8	3	1	7/1982	Johnson		3	1.5	
	A.H	4	3	4	0	9	7	7	7/1982	Brownlee et al.		3	1.5	
	A.I	4	4	8	9	4	4	6	12/1984	Reed		3	1.5	
	A.J	4	6	0	2	9	1	1	7/1986	Ahmadi et al.		623	2	
	A.K	4	6	5	5	7	7	3	4/1987	Crassi		623	2	

FOREIGN PATENTS OR PUBLISHED FOREIGN PATENT APPLICATIONS

		DOCUMENT NUMBER	PUBLICATION DATE	COUNTRY OR PATENT OFFICE	CLASS	SUBCLASS	TRANSLATION (YES/NO)
	A.L						
	A.M						
	A.N						
	A.O						
	A.P						
	A.Q						

OTHER DOCUMENTS (Including Author, Title, Date, Place of Publication)

	A.R	F. Maisano et al., <u>The edge-to-edge technique: a simplified method to correct mitral insufficiency</u> , European Journal of Cardio-thoracic Surgery 13, pp. 240-246, 1998
	A.S	Carlos M.G. Duran, M.D., Ph.D., <u>Perspectives in Reparative Surgery for Acquired Valvular Disease</u> , Advances in Cardiac Surgery®, vol. 4, 1993
	A.T	

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not in conformance. Draw line through citation only if not in conformance and not considered. Include a copy of this form with next communication to applicant.

SUBSTITUTE FORM PTO-1449 (MODIFIED)		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE							ATTY. DOCKET NO. SPEN-03C		SERIAL NO. Express Mail No. EV355034347US			
									APPLICANT Paul A. Spence et al.		FILING DATE October 28, 2003		GROUP Unknown	
(37 CFR 1.98(b))		(Use several sheets if necessary)							U.S. PATENT DOCUMENTS					
EXAMINER INITIAL		PATENT NUMBER							ISSUE DATE	PATENTEE		CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	B.A	4	9	1	7	6	8	9	4/1990	Carpentier et al.		623	2	
	B.B	4	9	6	0	4	2	4	10/1990	Groeters		623	2	
	B.C	5	0	6	1	2	7	7	10/1991	Carpentier et al.		623	2	
	B.D	5	1	0	4	4	0	7	4/1992	Lam et al.		623	2	
	B.E	5	1	6	3	9	5	5	11/1992	Love et al.		623	2.15	
	B.F	5	1	7	1	2	5	2	12/1992	Friedland		227	902	
	B.G	5	2	0	1	8	8	0	4/1993	Wright et al.		623	2	
	B.H	5	3	0	6	2	9	6	4/1994	Wright et al.		623	2	
	B.I	5	3	3	2	4	0	2	7/1994	Teitelbaum		623	2	
	B.J	5	3	6	0	4	4	4	11/1994	Kusuhara		623	2	
	B.K	5	3	9	7	3	5	1	3/1995	Pavcnik et al.		623	11	
FOREIGN PATENTS OR PUBLISHED FOREIGN PATENT APPLICATIONS														
		DOCUMENT NUMBER			PUBLICATION DATE		COUNTRY OR PATENT OFFICE			CLASS	SUBCLASS	TRANSLATION (YES/NO)		
	B.L													
	B.M													
	B.N													
	B.O													
	B.P													
	B.Q													
OTHER DOCUMENTS (Including Author, Title, Date, Place of Publication)														
	B.R													
	B.S													
	B.T													
EXAMINER								DATE CONSIDERED						
EXAMINER: Initial if citation considered, whether or not in conformance. Draw line through citation only if not in conformance <u>and</u> not considered. Include a copy of this form with next communication to applicant.														

SUBSTITUTE FORM PTO-1449 (MODIFIED)		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE							ATTY. DOCKET NO. SPEN-03C		SERIAL NO. Express Mail No. EV355034347US
		INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use several sheets if necessary) (37 CFR 1.98(b))							APPLICANT Paul A. Spence et al.		
									FILING DATE October 28, 2003		GROUP Unknown

U.S. PATENT DOCUMENTS

EXAMINER INITIAL		PATENT NUMBER							ISSUE DATE	PATENTEE		CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	C.A	5	4	1	5	6	6	7	5/1995	Frater		623	2	
	C.B	5	4	4	9	3	8	4	9/1995	Johnson		623	2	
	C.C	5	4	5	0	8	6	0	9/1995	O'Connor		128	898	
	C.D	5	5	4	5	2	1	4	8/1996	Stevens		623	2	
	C.E	5	5	4	9	6	6	5	8/1996	Vesely et al.		623	2.14	
	C.F	5	5	5	4	1	8	4	9/1996	Machiraju		623	2	
	C.G	5	5	5	4	1	8	5	9/1996	Block et al.		623	2	
	C.H	5	6	6	2	7	0	4	9/1997	Gross		623	2	
	C.I	5	6	7	4	2	7	9	10/1997	Wright et al.		623	2	
	C.J	5	7	0	9	6	9	5	1/1998	Northrup, III		606	148	
	C.K	5	7	1	6	3	9	7	2/1998	Myers		623	2	

FOREIGN PATENTS OR PUBLISHED FOREIGN PATENT APPLICATIONS

		DOCUMENT NUMBER	PUBLICATION DATE	COUNTRY OR PATENT OFFICE	CLASS	SUBCLASS	TRANSLATION (YES/NO)
	C.L						
	C.M						
	C.N						
	C.O						
	C.P						
	C.Q						

OTHER DOCUMENTS (Including Author, Title, Date, Place of Publication)

C.R	
C.S	
C.T	

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not in conformance. Draw line through citation only if not in conformance and not considered. Include a copy of this form with next communication to applicant.

SUBSTITUTE FORM PTO-1449 (MODIFIED)		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE							ATTY. DOCKET NO. SPEN-03C		SERIAL NO. Express Mail No. EV355034347US
									APPLICANT Paul A. Spence et al.		
		(Use several sheets if necessary) (37 CFR 1.98(b))							FILING DATE October 28, 2003		GROUP Unknown

U.S. PATENT DOCUMENTS

EXAMINER INITIAL		PATENT NUMBER							ISSUE DATE	PATENTEE		CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	D.A	5	7	3	3	3	3	1	3/1998	Peredo		623	2	
	D.B	5	8	2	4	0	6	5	10/1998	Gross		623	2	
	D.C	5	8	2	4	0	6	6	10/1998	Gross		623	2	
	D.D	5	8	2	4	0	6	7	10/1998	Gross		623	2	
	D.E	5	8	5	5	6	0	1	1/1999	Bessler et al.		623	2	
	D.F	5	8	8	8	2	4	0	3/1999	Carpentier et al.		623	2	
	D.G	5	9	0	8	4	5	0	6/1999	Gross et al.		623	2	
	D.H	5	9	3	1	8	6	8	8/1999	Gross		623	2	
	D.I	6	3	3	2	8	9	3	12/2001	Mortier et al.		623	2.1	
	D.J													
	D.K													

FOREIGN PATENTS OR PUBLISHED FOREIGN PATENT APPLICATIONS

		DOCUMENT NUMBER	PUBLICATION DATE	COUNTRY OR PATENT OFFICE	CLASS	SUBCLASS	TRANSLATION (YES/NO)
	D.L						
	D.M						
	D.N						
	D.O						
	D.P						
	D.Q						

OTHER DOCUMENTS (Including Author, Title, Date, Place of Publication)

	D.R	
	D.S	
	D.T	

EXAMINER	DATE CONSIDERED
----------	-----------------

EXAMINER: Initial if citation considered, whether or not in conformance. Draw line through citation only if not in conformance and not considered. Include a copy of this form with next communication to applicant.